CONTINUITY OF OPERATIONS PLAN (COOP)

Planning Guide and Outline

A Format for State, Local, and Tribal Territories to Use in Continuity Preparedness

Prepared by the New York State Office of Emergency Management

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This document is intended to serve as the basic framework for a Continuity of Operations Plan (COOP). Throughout this outline, recommendations and prompts are included to assist with the development of an agency or organization continuity plan. The intent of this document is to provide a basic outline of information to begin the planning process and a suggested format to use. Users should note that items listed with an asterisk (*) are tied directly to Mission Essential Functions (MEFs). For a COOP to be successful, all organizations must identify and prioritize their MEFs, establish downtimes, and plan to support the continuance of their MEFs.

Executive Summary

1. **Inside the Front Cover**
   This section should include a signatory page stating the effective date of the plan.
2. **Promulgation**
   Include a promulgation page which is signed by the agency leadership.
3. **Plan Revision History and Distribution List**
   This section should include a distribution table and a table outlining any plan revisions, including the dates of revision.
4. **Table of Contents**
   Provide a table of contents which includes any annexes or appendices.
5. **Executive Summary/Policy**
   This section of the Continuity of Operation Plan (COOP) should address the agency's/organization's policy regarding continuity of operations.
6. **Comprehensive Approach**
   Include language that the document encompasses an all-hazards approach and is not intended to address each individual type of hazard/situation. Also include that this plan will address all phases of the emergency management cycle (i.e. preparedness, response, and recovery actions).
7. **Management Responsibilities and Authority**
   - Provide a definition of responsibilities of those in a management position.
   - Outline the basic strategies and emergency management responsibilities for each of the agency's sections or departments, as applicable.
   - Introduce the identification of a Continuity Program Manager (CPM) who has been delegated the authority to be a decision-maker on issues relevant to COOP, as well as any relevant limitations on the CPM position.

Section I: General Considerations and Planning Guidelines

1. Introduction

This section should provide a brief overview of what information is included in the COOP, as well as introduce the complexities that are faced when an agency enters a continuity environment. This portion of the plan should include:

- A definition of COOP.
- A brief overview and background of what the plan encompasses.
- A general statement on the variety of emergency and disaster situations and their potential impact on the agency (internal and external). Note that this should not be an in-depth risk analysis, but may include a reference to a more formal analysis.
- An overview of the efforts taken to minimize the effects an emergency or disaster will have on day-to-day operations.
- Provide reference to any supporting or related documents within the agency, such as existing emergency plans, if applicable.
- An identification of how the plan will or has been communicated within the agency.

2. Purpose

This section should identify the reason for developing this plan. It should include the organizational response structure (in general terms) which will be implemented when an agency enters a continuity environment.

- Define Mission Essential Functions (MEFs) in general terms.
- Indicate how MEFs have been identified, assessed, and prioritized for the agency to follow.
- Identify that efforts have been made to ensure the continuous delivery or minimal interruption of the agency's mission essential functions.
- Identify and briefly discuss the resources available to prevent or mitigate, respond to, and recover from an incident that forces entrance into a continuity environment.

3. Scope or Goals and Objectives

This section identifies and explains what the COOP does and does not apply to. This portion of the plan should:

- Indicate what this plan is used for, as well as the general resources and activities necessary to support continuity planning in the areas of preparedness, response, and recovery.
- Clearly identify what relationship, if any, the COOP has to the Occupant Emergency Plan (OEP) and other emergency related documents within the agency, if applicable.

4. Situation

This section of the COOP should clearly describe a continuity environment within the agency. At a minimum, the situation should identify and analyze the potential scenarios an agency might face.

- Identify the need for a continuity plan.

- Identify potential hazards and determine the probable impact each of those hazards could have on employees and day-to-day operations.
- Identify that operations may be stressful, and require agency staff to operate in extraordinary circumstances, addressing issues such as potential shift work, overtime, and travel to an alternate work site.

5. Planning Assumptions

This section of the COOP will outline the expectations used for the planning process. The assumptions are drawn from the Situation section. Planning Assumptions should:

- Identify expectations based upon the planning process, research, and real-life events.
- Identify what the agency can expect to experience when entering a continuity environment.
- Describe the expected impact of an event and the operational challenges that may be faced.
- Identify that the agency has identified critical applications and data and prioritized their recovery based on the MEF rankings.
- Identify that the agency will take steps to ensure the continuity of its functions in the event of a complete absence of IT availability.
- Identify any adjustments to day-to-day operations that may be necessary to operate efficiently and effectively in a continuity environment for any period of time.
- Identify the need to devolve and/or delegate functions until such a time that the agency can reconstitute its functions.
- Identify any unique needs of the agency and the anticipated affects upon clients or stakeholders.

6. Concept of Operations

This section of the COOP will outline the anticipated sequence of events in responding to a situation and entering a continuity environment. A concept of operations should:

- Offer a clear understanding of how an agency intends to enter and exit from a continuity environment. This can be tied to the OEP, or initiated as a separate, isolated event, such as computer failure.
- Provide a general sequence of actions before, during, and after the continuity environment.
- Identify the role of a Continuity Manager and the relationship to the Crisis Management Team (if applicable) and other agency leadership.
- Emphasize that the MEFs will be reinstituted in an order of priority and, if applicable, that some functional areas/activities may be temporarily halted during a COOP activation.

7. Authority

This section of the COOP should outline the authority to undertake this planning effort. (i.e., State Laws, State/local Executive Orders, or Federal Directives, HSPD-20, etc.).

8. Plan Maintenance

The COOP should be reviewed and updated annually. Plan updates may also be based upon experiences and lessons learned from exercises or real-world events, or through administrative changes, necessitating additional updates throughout the year.

- Identify by position the responsible party for updating the plan document.
- Identify and document a schedule of annual updates.
- Identify the process for updating and the training to follow plan changes.

Section II: Preparedness

1. Overview

This section of the plan should outline the measures taken to adequately manage risk, increase resilience, and steps taken to ensure continuance of essential functions. A brief introduction should be given to the planning process and basic tenets of continuity planning and their connection to preparedness. Some examples of these tenets are:

- Mission Essential Functions.
- Alternate Facilities.
- Critical Systems.
- Lines of Succession and Delegation of Authority.

2. Continuity Plan/Continuity Program Management

In this section of the plan, provide a brief introduction to the program management that is applicable to the agency or organization.

a. **Continuity Program Manager (CPM):** The team leader with responsibility for COOP planning efforts for the agency. The plan should include policy/roles such as:
   - The responsibility for the coordination (i.e. test, training, exercising) of all continuity program activities.
   - The identification of the position by leadership.
   - The mission to develop, implement, administer, evaluate, maintain, and report on the program.
   - The delegated authority to lead agency efforts in preparedness, response, and recovery.

b. **Continuity Planning Team (CPT):**
   - Identify the team members.
   - Explain how the team will work to represent each business unit and plan for the continuance of the missions the unit is responsible for.
   - Identify the CPT and the authority to be a decisionmaker on issues relevant to COOP.

c. **Crisis Management Team (CMT)**: If a planning team is established, that same team may be used to manage the organization's efforts to sustain its functions in a continuity environment. The concept of a CMT stems from the private sector and is typically used in large organizations. If you decide to use a CMT, then formally recognize the CMT in the COOP.
   - Identify who will assume the role of Crisis Management Team for the agency during an event. This may be the Continuity Planning Team.
   - Identify the roles of each team member in implementing the COOP. Note that when activated, the CMT can assume the Command and General Staff positions within the Incident Command System (ICS).
   - Include the interaction with agency leadership and what their degree of latitude or decision-making is.

3. Risk Assessment

Conducting a risk assessment is a vital step toward the creation of a successful plan. During the planning process, use a recognized methodology to assess internal and external risks. Attach the risk assessment results to the COOP for follow up use.

- Use the NYS Risk/BIA tool to conduct the risk assessment.
- Identify and rank both the internal and external risks.
- Conduct a risk assessment for the primary operating facility.
- Identify the steps taken, if any, to prevent/mitigate those risks from occurring and effecting agency operations.

This risk assessment may occur as a standalone function or can occur in tandem with a business impact analysis (BIA).

4. Mission Essential Functions (MEFs)

In the COOP, note that mission essential functions (MEFs) are those functions required to be performed or recovered during a disruption of service. Ensure that MEFs are tied to functions that meet appropriate criteria (support the capability to maintain statutory obligations, support a disaster response, maintain standing in the government marketplace, etc.). In this section, identify the logic/process in assessing MEFs, include:

- The process to identify the MEFs at the section, department, or bureau level, with the required process for approvals at each level.
- The method for ensuring MEFs are approved by agency leadership.
- The systematic approach to prioritization of the MEF's and a statement that the MEFs will be restored according to priority.
- Note that acceptable downtimes have been set for each MEF. Highlight any MEFs which have been identified with a zero downtime.
- A reference to the table of MEFs in an attachment to your COOP.
- The risks which may impact the MEFs, and activities taken to prevent/mitigate risk to those functions.

5. Facility Overview

Identify the agency's resilience from a facility perspective. If the agency utilizes multiple facilities, each facility should be assessed separately. This portion of the plan should:

- Include a brief description of daily facility usage.
- Address the resiliency of the building (i.e. redundant systems, building security) and suggestions/plans for improvement.
- Identify any risk assessments that have been conducted on the facility.
- Address the vulnerabilities in the facility identified during the planning process/risk assessment.
- Outline the courses of action for addressing the vulnerabilities in this section. Courses of action should include intentional, targeted capital programming efforts intended to bolster organizational resilience.

6. Alternate Facility

This portion of the plan should include:

- The location and type of alternate worksite(s).
- If multiple work sites may be needed to accommodate all employees.
- The operating schedule for each location, and the requirements for activation (such as additional equipment).
- Include consideration of shift patterns, telecommuting, or partnerships with other agencies/organizations.
- Identify (or conduct) a risk assessment for the alternate facility to ensure that the site is not subject to the same risks (i.e., flooding) as the primary facility.

7. Business Impact Analysis (BIA)*

A BIA is an assessment that weighs or values the loss of functions on the organization. A BIA can link risks identified in the risk assessment to the MEF that may be impacted, and then quantify the potential outcome or loss to the organization. In the private sector, those losses are measured in revenue. This is inherently different for the public sector. In this part of the COOP, note if a BIA has been completed, and indicate how the MEFs are valued in order of priority/impact to the overall agency.

- Use the NYS BIA/Risk tool to assess each function. The FEMA-based BIA worksheet in Attachment 2 may also be used to conduct the BIA.
- Reference such worksheets to the reader/user for when needed.
- The BIA should include all identified MEFs.
- Note any MEFs which are impacted by high-frequency events.

8. Business Process Analysis (BPA)*

A BPA is used to help identify the steps in a process to successfully perform each mission essential function. Once the necessary functions have been determined, the inputs and outputs required to implement that function should be identified and assessed. A BPA should be conducted for each MEF on one form or can be done using separate worksheets providing all essential criteria is addressed. This criterion includes:

- The identification of the MEF.
- The narrative or description of the MEF.
- Personnel needed in the performance of the MEF.
- Mission essential systems, files, records, and data.
- Critical resources and logistics.
- Dependencies and interdependencies.
- Other information helpful to the user.

Planners can use the OEM BPA worksheet (which has all the criteria on one form) or can use the composite of worksheets individually providing they address all the criteria above.

9. Mitigation Measures*

a. Protecting or Safeguarding Critical Applications and Data

Critical applications are tied to Mission Essential Functions. Therefore, the list of critical applications can be compiled from the MEF forms and BPA forms. This segment should identify any steps the agency has taken to protect and safeguard critical applications, to include any system redundancies or back up systems in place. This should also include the protection for servers, server rooms, uninterruptible power supplies, etc.

Inlude the ITS language for safeguarding and security. Continuity planners can use the form in Attachment 1 for safeguarding critical applications or list the safeguard measures here.

b. Protecting or Safeguarding Vital Records

Vital records and data are tied to Mission Essential Functions. This information can be compiled from the MEF forms and BPA forms. This section should identify vital records necessary for completion of MEFs, including the availability of records in various forms (digital, hardcopy, etc). This segment should identify any steps the agency has taken to protect and safeguard vital records, to include any system redundancies or back up systems in place. The information should be provided to NYS ITS to assist in the maintenance of MEFs.

Continuity planners can use the form in Attachment 1 for restoration of vital records and data or can list them here.

10. Continuity of Communications

a. Identification and assessement of communications

In this section of the plan, identify the communications which would be utilized in a continuity environment to contact internal and external entities. Note in the plan how communications will:

- Include the use of information technology (if systems are backed up and functioning).
- Address cellular or hand-held communications, to include contact lists for staff.
- Communications capabilities must be supportive of the downtimes of MEFs.

b. Mitigation, protection, or safeguarding of communications resources

This segment should identify any steps the agency has taken to protect and safeguard communications, including any system redundancies or identified alternative means of communications.

11. Mission Essential Staff* and Lines of Succession

- Mission essential staff are staff that are pivotal to the performance of a mission essential function or those determined by the MEFs and leadership necessary for the activation of a COOP. Personnel may be acting within the normal scope of their daily role or may be trained to work in various functions in a COOP environment. This section should address the roles and expectations of mission essential staff and identify those who will be required to fill functional needs.

- For the lines of succession, agencies/organizations should identify for each essential staff and leadership position, with at least three layers of succession for each position.

Continuity planners can use the Mission Essential Staff forms in Attachment 1 or list such staff here.

12. Devolution and Delegation of Authority*

Devolution and Delegation of Authority are concepts that stem from Federal guidance and, in some cases, may have some limited application to a state or local entity.

Devolution is a continuity option for organizations to consider. During a crisis, an organization may find it useful to devolve its functions to another (external) part of the organization. An example of this would be for an agency headquarters to devolve its functions to a regional office, or vice versa, for a period of time.

Delegation of Authority is an option that may be used when an organization has no other option but to pass the function of an organization to an external agency/organization. Agencies may find formal delegation of authorities in state or local law.

The use of Devolution and Delegation of Authority is dependent on what is occurring, and what MEFs may be affected. These concepts can be useful to address scenarios when:

- The primary facility is non-operational, which may include long term facility rehabilitation, inaccessibility, or relocation of the facility.
- Primary agency staff are not available to report to work due to injury or death. This scenario should include the potential of a partial or full workforce loss, including the loss of leadership roles.

Worksheets are included in this guide to support these concepts. In this section of the COOP, explain the process for identifying and addressing these elements.

13. Occupant Emergency Plans (OEPs)

An OEP is a facility-level emergency response plan designed to protect inhabitants of a fire by providing warning and evacuation. Document the presence and scope/application of the OEP. In doing so, also note:

- The COOP is a standalone document that may be activated with or without activation of the OEP.
- Any link between the COOP and the OEP (i.e. timing, consecutive, concurrent).
- If an OEP does not exist, one should be completed to address evacuation at a minimum.
- We would recommend the development of an OEP that includes other protective actions for other risks, such as a lockdown, lockout, or shelter-in-place plan.

14. Resource Requirements and Outstanding Logistical Support*

The BPA should have identified the resources needed to maintain each function. In this section, catalogue those resources/logistical support requirements that the organization may need to ensure it can continue to operate at a continuity site. This may include:

- Standard office items, such as paper, pens, printers, or charging devices.
- Staffing services available to address potential loss of workforce or need for additional temporary staff members.
- Requirements for technology and connectivity.
- Requirements for resumption of internal and external mail sources.
- Sanitation needs, such as garbage removal, sewer requirements, office cleaning services, and restocking of cleaning supplies.
- Identify responsible parties for mission critical go-kits created by the agency to support operations at an alternate worksite within each organizational segment.
- Identify sourcing options to acquire space, such as working through a general services office, partnerships with another agency, schools, emergency procurement of vacant space, or private sector support if the alternate site is not available.
- Reference any worksheets completed to outline the provisions needed and listed above.
- During a disaster, request for resource support should be coordinated through the applicable emergency operations center.

Worksheets can be used to capture logistics and go-kit information and attached to the COOP to catalogue these items.

15. Tests, Training, and Exercising

The agency must ensure that employees of a response organization have received training relative to their position and function during an emergency. This section of the COOP should outline the policy on training, and any exercises or real-world events that the agency has experienced. Included in this section should be:

- The requirements for all agency personnel to receive training (initial, refresher, documenting training). If training varies for personnel (i.e. all personnel, leadership roles, etc.), this should be notated in the training section.
- An outline of the methods/frequency for the agency's testing, training, and exercises.

16. After Action Reports and Corrective Actions Programs

This segment should address the need for and use of After Action Reports (AARs) and Corrective Action Programs (CAPs) for the future development and refinement of the COOP process, including the process for:

- The development/use of after action reports (AARs) to provide insight into improving preparedness.
- Corrective Action Program (CAP): The agency's commitments to instituting a program to ensure readiness, identify accountability, and track improvements.

Section III: Response

1. Alert, Notification, and Plan Activation

This section should identify the process for the initial recognition of a risk/threat to the agency, the assessment of that risk/threat by appropriate personnel, notification of appropriate internal and external entities, and the actions the agency takes to activate their response organization and this COOP. In this portion of the COOP, identify:

- Steps taken to identify the presence of an internal or external risk, and the process for communicating that risk to leadership and/or the CPT/CMT for decision-making.
- The provisions to alert and notify staff of COOP activation during business hours and off-hours.
- The methods to be used for providing notification, and the people who are tasked with performing the actual outreach.
- Notification of external stakeholders. Include elected leadership, partner agencies, and customer base.
- Include language of the notification of personnel and external stakeholders of any change in leadership due to lines of succession.

Worksheets can be used to accomplish this and are readily available for use.

2. Agency Emergency Response Levels

Not all situations will warrant a full COOP activation. As such, some incidents may warrant plan implementation to a lesser extent. The activation should be flexible and scalable. In this area of the COOP, include:

- Operating Levels**:** numbered relative to the response needed (1-4).
    - Levels are based on the impact on the agency and its ability to maintain its MEFs.
    - The operating levels should include the provisions for a partial, limited, or full activation.
    - Each level can define which provisions in the COOP are used (i.e., devolution, delegation of authority, alternate facility, etc.) and which are not needed.
    - In turn, the operating level defines the incident command operating structure necessary for each level of response.

3. Critical Recovery Tasks

This section of the COOP should be consistent with the concept of operations envisioned in Section I of the plan. These tasks are specific to the agency. Identify the critical recovery tasks here:

- Be succinct and note the activation of any teams.
- Define the actions of agency leadership.
- Note positions or functions that may be devolved or delegated.
- The usage of an alternate worksite, if necessary.
- Note that MEFs will be addressed in order of priority once the agency reconstitutes.

A simple worksheet (included in Attachment 1) can help steer the identification of critical recovery tasks.

4. Priority of Restoration of Critical Applications and Vital Records*

The restoration of applications and records should be based upon the priority of the identified MEFs. This section should address the need to prioritize systems and records, and include:

- That the priority for restoration stems from the priority/downtime of MEFs.
- The process for prioritizing restoration.
- A prioritized list of data systems to be restored.
- This information should be provided to NYS ITS for inclusion in their plans to support the agency.

Continuity Planners can use the worksheets for restoration of applications and records in Attachment 1 or list the information here. Continuity planners can use the form in Attachment 1 for the prioritized recovery of applications and vital records or list those applications and records here.

5. Agency Emergency Response Organization and the Role of the Crisis Management or Continuity Planning Team

Pre-emergency, the Continuity Planning Team prepares the agency for a continuity event. As a result, team members have a good understanding of the COOP, and will have the skills and abilities to guide the agency in a continuity environment. This section should address how that response will be organized, using the tenets of the incident command system.

a. Use of the Incident Command System

- Identify Command and General Staff positions for the agency.
- Identify an agency leader to manage the command structure.

b. Role of the Crisis Management or Continuity Planning Team

If the agency is using a crisis management team or operationalizes the continuity planning team, then define the expectations and roles of the CMT and CPT during response activities. This includes:

- Roles and responsibilities within ICS.
- Authorities and/or restrictions of both the CMT and CPT.
- Lines of communication with agency leadership.

6. The Role of Leadership

Define the role of leadership. The expected roles of leadership should be defined in this segment, including the following:

- Communications with agency personnel and any teams, such as CPT or CMT.
- Expected role within the ICS structure.
- Interface with external agencies and/or government.

7. Assignment of Responsibilities

This section of the COOP should identify the responsibilities of each role within the agency. This section should outline:

- The responsibilities of each section, department, or bureau leadership.
- The roles of the employees and how assignments are determined within the agency's current framework.
- The role of facility management staff (if separate from the agency).

8. Team Leaders for Alternate Relocation Sites (if necessary)

In some cases, an agency may use a regional office, a partner agency, additional agency property, or other provision as an alternate work site. Team leaders may be necessary for managing the alternate worksite. If this need applies, then note here in the plan as follows:

- Identification of a team leader for each site.
- Lines of communication between the team leader and the CMT and agency leadership.
- Process for notification of personnel of team leader activation.

9. Facility Relocation Handout for Alternate Work Site

Employees who have relocated to an alternate work site should be provided informational guidance about working from that site. In the COOP, identify:

- Requirements for identification to access the alternate site.
- Alternate site logistical information, such as parking arrangements, availability of mass transit, and/or road closures (if known).
- Include information regarding the availability of computer connectivity and IT support and communications.
- Information to support employees in the transition, such as local eateries, pharmacies, daycares, ATMs, and an overview of the area.

10. Implementing Devolution of Functions and Delegation of Authority

a. Devolution

Functions which may need to be devolved should have been identified in the preparedness section. In response, identify that the organization may devolve some or all its functions as conditions warrant. Consideration should be given to:

- What is being devolved, to whom, and when.
- Note the threshold and potential trigger for functions to be devolved.
- Process for notification of others (internal and external) that the function is being managed by other staff.
- The process, steps, and expectations of that function being returned to the primary operator.
- Indicate that staff will reassume their functions when possible and will do so consistent with the prioritization of MEFs and the expected downtimes.

b. Delegation of Authority

If warranted, the delegation of authority during a COOP activation should be clearly outlined. This section should address:

- What is being delegated, to whom, and when.
- The anticipated timeline the recipient will assume those functions.
- Identify individuals with the legal authorization to act on behalf of the previous incumbent for a specified purpose or duties.
- Process for notification of others (internal and external) that the delegation of authority has occurred.
- The process an agency will take to reclaim that authority.

11. Personnel (Human Capital)

A COOP should address how the agency should manage its employees and the impact on employees in a continuity environment. Planning should include:

- Methods to communicate with employees on and off-hours.
- Allowing people to attend to their families if impacted by the incident.
- Adjusting shifts, rotations, and consideration for those that may be reliant upon mass transit.
- Making reasonable accommodations for employees.
- Allowing employees to telework, if warranted and appropriate.
- Providing guidance on leave, attendance, and other human resources issues.

Section IV: Recovery/Demobilization

1. Recovery and Reconstitution

Recovery strategies should be considered in short-term and long-term timelines. Recovery of MEFs will occur at the alternate site during COOP implementation. The agency reconstitutes itself once it returns to the primary operating site, or a new long-term location. Regardless of location, the COOP should identify several key elements in reconstituting the agency including:

- Strategy for the process to restore operations at the primary site. This may include a gradual transition of personnel/functions.
- Notification of personnel.
- Notification of internal and external stakeholders, partners, and elected leaders.

2. Agency Facility and Personnel

This section of the COOP should address how day-to-day operations will resume after termination of a continuity environment. The COOP should identify potential solutions if a new operating site is warranted. Consider the following:

- Short-Term: Office space that meets the basic needs and priorities of the agency while a more permanent solution is developed.
- Long-Term: Space that the agency can occupy for a minimum of 18-24 months while a new facility is designed and constructed.
- Identifying ways to support the replacement of personnel, including:
    - Emergency contracts.
    - State, county, and municipal personnel who are familiar with agency operations.
    - Existing Civil Service lists for appropriate personnel.
    - Other agency staff who can fill emergency roles.
    - State or local retirees willing to return on a contract basis.

3. Documentation for Demobilization

Provisions should be made to ensure information and materials generated in the event are transferred to the primary operating facility. The COOP should note:

- File saving and transferring information from the alternate site to the primary site.
- Tracking files, documents, and records (including emergency operating costs) for future reference.
- Documentation related to human resources, such as tracking of overtime hours.

Attachment 1

NYS Continuity of Operations Planning (COOP) Preparedness Forms and Worksheets

Mission Essential Function Worksheet

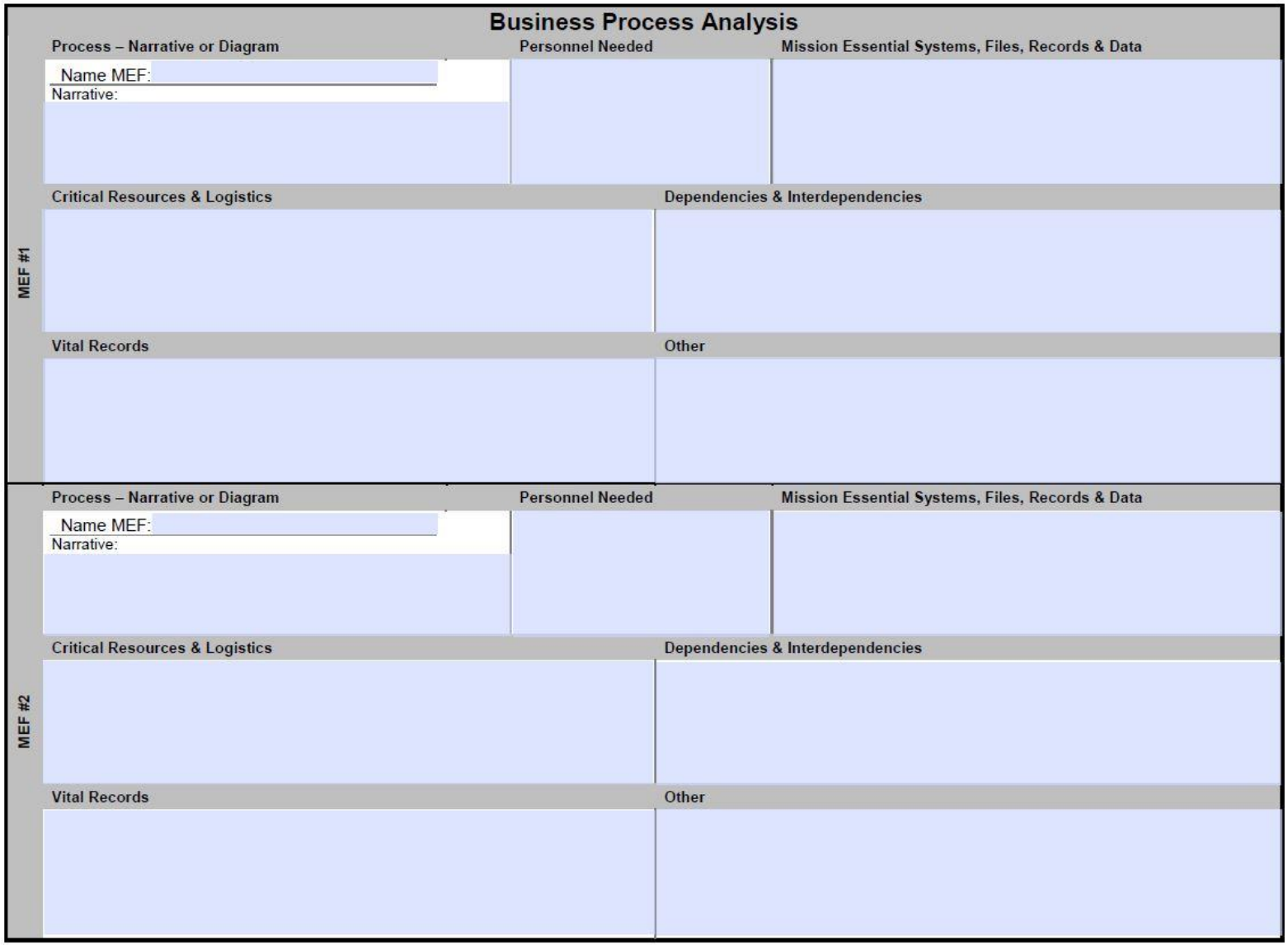
Essential Functions *day-to-day operations*		Downtime of Functions		Resources used to perform this function
		Recovery Time Object (RTO) (operations)	Recovery Point Objective (RPO) (data)	i.e. P Network drive, special software, etc.
Ex. 1	**Example: Payroll**	**3 weeks**	**30 days**	**LATS, Server Access, other payroll software**
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

BPA Worksheet

Business Process Analysis – Instructions and Topic Details

Instructions	After completing the MEF List, please proceed to the BPA Sheet and answer the following topics as they correspond to all the MEFs. Details about the particular topics are below:		
Line	**Process – Narrative or Diagram**	**Personnel Needed**	**Mission Essential Systems, Files, Records & Data**
Description	Name MEF: Place MEF Name Here Narrative: Highlight the necessary steps to perform the MEF. This can be done through either a narrative format, or a diagram/flowchart can be utilized. If the space provided is not adequate, attach additional documents as needed, and identify within the cell which document applies to each MEF. Ex: Within the Cell: Appendix A1; On the Document: MEF #1	• Can the task be performed by mid-level or lower-level staff, or does it require leadership/decision-makers/policy makers? ○ Is there any formal, and/or statutory, authority required to complete the MEF?	Identify the necessary equipment/files/records/data to perform the MEF: • Can the MEF be performed virtually, or does it require on-site computer(s)? • Does the MEF require specialized software? • Does the MEF require constant external communication? (i.e. Internet connection, Email, etc.)
Line	**Critical Resources & Logistics**		**Dependencies & Interdependencies (Contracts, Vendors, & Supplies)**
Description	• What resources/supplies/hardware is required to perform the MEF? • Is there a need, or a plan in place, to mobilize any/all resources?		• What organizations do you rely on to complete the MEF? ○ What needs do they fulfill for the MEF ○ Can those needs be met outside of normal business? • What organizations rely on the MEF? ○ Of those organizations, which ones are of the highest priority, with reference to the need of the MEF? • What contracts and/or supplies are needed to complete the MEF?
Line	**Vital Records**		**Other (Signatures, Approvals, Time Constraints, Processing Instructions)**
Description	• What documents/records are needed to perform the MEF? • If needed, can they be accessed and/or utilized remotely?		Utilize this section to add any additional comments, needs, or other information, which was not covered by the other sections.

BPA Worksheet



Business Process Analysis

MEF #1

Process – Narrative or Diagram	Personnel Needed	Mission Essential Systems, Files, Records & Data
Name MEF: Narrative:		

Critical Resources & Logistics	Dependencies & Interdependencies

Vital Records	Other

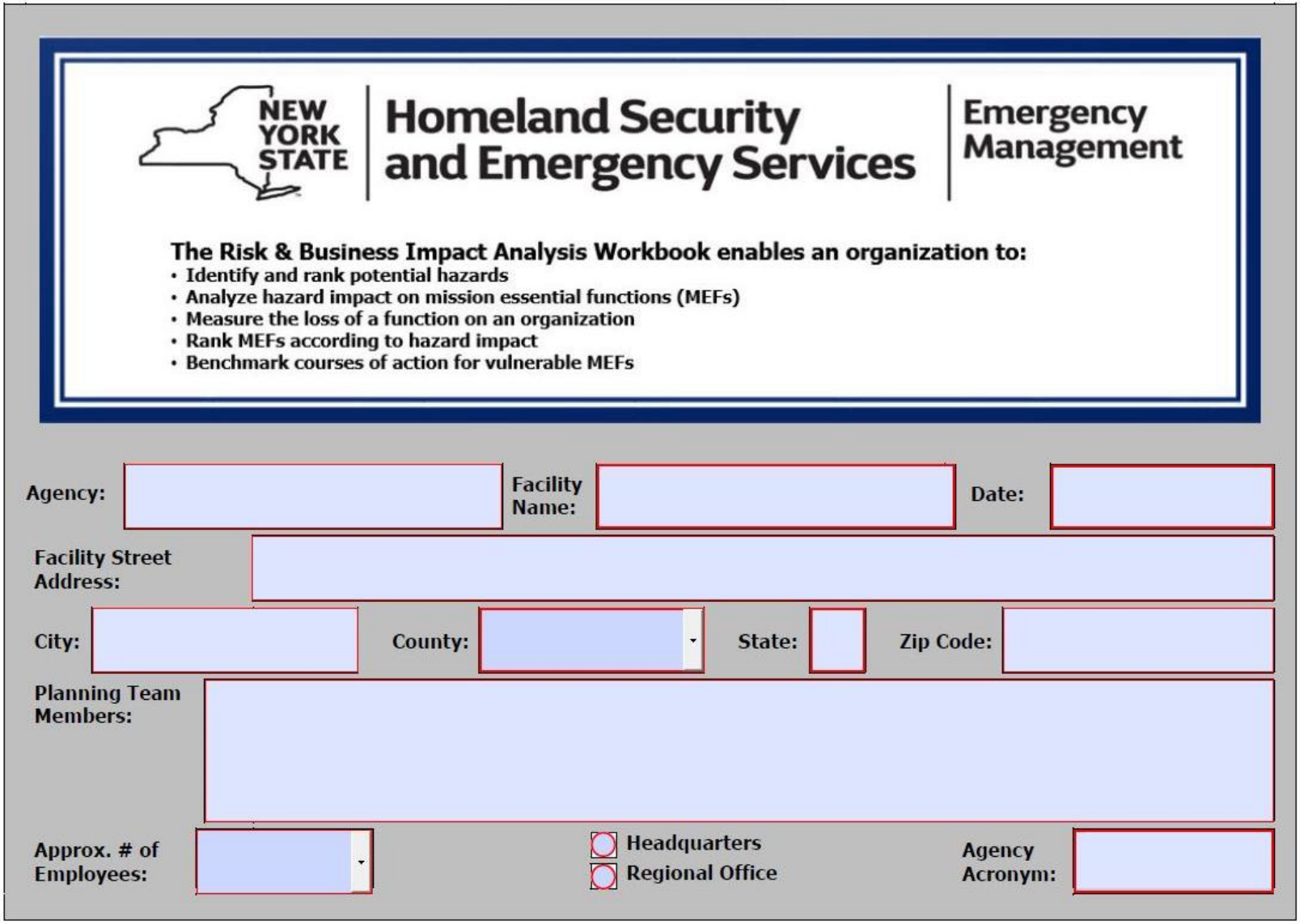
MEF #2

Process – Narrative or Diagram	Personnel Needed	Mission Essential Systems, Files, Records & Data
Name MEF: Narrative:		

Critical Resources & Logistics	Dependencies & Interdependencies

Vital Records	Other

NYS Business Impact Analysis (BIA) Tool: Agency Information Form



NYS Business Impact Analysis (BIA) Tool: Hazard Analysis

Hazard Analysis Tool						
Hazard	Could hazard occur and cause an impact?	Has hazard occurred and caused an impact?	Does hazard pose a consequence for employees?	Does hazard pose a consequence for a facility or asset?	Has mitigation been performed for the hazard?	Hazard Risk Score	Qualitative Hazard Ranking
Example: Flood	Yes ● No ○	Yes ○ No ●	Highly Likely ● Some Potential ○ No ○	Highly Likely ○ Some Potential ● No ○	Yes ● No ○	13	Med. Low
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	
	Yes ○ No ○	Yes ○ No ○	Highly Likely ○ Some Potential ○ No ○	Highly Likely ○ Some Potential ○ No ○	Yes ○ No ○	0	

NYS Business Impact Analysis (BIA) Tool: BIA Part I

Business Impact Analysis – Part I

Insert the MEF and its Unit as directed below:		Acceptable Level of MEF Downtime:									A statutory/ regulatory obligation		Supports a disaster response?		Affects the Public Opinion of the Agency?		HQ/Reg Office depends on this MEF?		MEF Value Score
Mission Essential Functions (MEFs)	Organizational Units																		
Example: Payroll	**Example: Operations**	None ○	<1 hr. ●	1-12 hrs. ○	12-24 hrs. ○	24-48 hrs. ○	48-72 hrs. ○	72 hr. to 1 wk . ○	1 wk. to 1 mo . ○	>30 Days ○	Yes ●	No ○	Yes ●	No ○	Yes ○	No ●	Yes ●	No ○	**36**
		None ○	<1 hr. ○	1-12 hrs. ○	12-24 hrs. ○	24-48 hrs. ○	48-72 hrs. ○	72 hr. to 1 wk. ○	1 wk. to 1 mo. ○	>30 Days ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	
		None ○	<1 hr. ○	1-12 hrs. ○	12-24 hrs. ○	24-48 hrs. ○	48-72 hrs. ○	72 hr. to 1 wk. ○	1 wk. to 1 mo. ○	>30 Days ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	
		None ○	<1 hr. ○	1-12 hrs. ○	12-24 hrs. ○	24-48 hrs. ○	48-72 hrs. ○	72 hr. to 1 wk. ○	1 wk. to 1 mo. ○	>30 Days ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	
		None ○	<1 hr. ○	1-12 hrs. ○	12-24 hrs. ○	24-48 hrs. ○	48-72 hrs. ○	72 hr. to 1 wk. ○	1 wk. to 1 mo. ○	>30 Days ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	
		None ○	<1 hr. ○	1-12 hrs. ○	12-24 hrs. ○	24-48 hrs. ○	48-72 hrs. ○	72 hr. to 1 wk. ○	1 wk. to 1 mo. ○	>30 Days ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	
		None ○	<1 hr. ○	1-12 hrs. ○	12-24 hrs. ○	24-48 hrs. ○	48-72 hrs. ○	72 hr. to 1 wk. ○	1 wk. to 1 mo. ○	>30 Days ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	
		None ○	<1 hr. ○	1-12 hrs. ○	12-24 hrs. ○	24-48 hrs. ○	48-72 hrs. ○	72 hr. to 1 wk. ○	1 wk. to 1 mo. ○	>30 Days ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	
		None ○	<1 hr. ○	1-12 hrs. ○	12-24 hrs. ○	24-48 hrs. ○	48-72 hrs. ○	72 hr. to 1 wk. ○	1 wk. to 1 mo. ○	>30 Days ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	
		None ○	<1 hr. ○	1-12 hrs. ○	12-24 hrs. ○	24-48 hrs. ○	48-72 hrs. ○	72 hr. to 1 wk. ○	1 wk. to 1 mo. ○	>30 Days ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	
		None ○	<1 hr. ○	1-12 hrs. ○	12-24 hrs. ○	24-48 hrs. ○	48-72 hrs. ○	72 hr. to 1 wk. ○	1 wk. to 1 mo. ○	>30 Days ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	
		None ○	<1 hr. ○	1-12 hrs. ○	12-24 hrs. ○	24-48 hrs. ○	48-72 hrs. ○	72 hr. to 1 wk. ○	1 wk. to 1 mo. ○	>30 Days ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	
		None ○	<1 hr. ○	1-12 hrs. ○	12-24 hrs. ○	24-48 hrs. ○	48-72 hrs. ○	72 hr. to 1 wk. ○	1 wk. to 1 mo. ○	>30 Days ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	Yes ○	No ○	

NYS Business Impact Analysis (BIA) Tool: BIA Part II

Business Impact Analysis - Part II

Mission Essential Functions: All MEFs, MEF Values, Hazards, and Hazard Risk Values will be appropriately populated in their corresponding locations. Please proceed through this form by checking the box of each hazard as it corresponds to the MEF you are assessing. The program will add all the Hazard Risk Values together, and add that total value to the MEF Value, producing the MEF Risk Value.	Hazards	Example: Flood																										Total Hazard Risk Value	MEF Value	MEF Risk Value
	Hazard Risk Value	5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0			
Example: Payroll		X																										5	35	40
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	0		
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	0		
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	0		
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	0		
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	0		
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	0		
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	0		
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	0		
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	0		
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	0		
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	0		
			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	0		

Mission Essential Staff & Lines of Succession Worksheet

Section Name:			
Mission Essential Staff Position	Primary Backup	Secondary Backup	Tertiary Backup

Safeguarding of Critical Applications

Identification, Safeguarding, and Priority of Restoration of Critical Applications						
Prior	Section	Applications	Internet Based? (Yes/No)	Redundancies Available? (Yes/No)	MEF Rank	Recovery Point Objectives (RPO)

Safeguarding of Vital Records

Identification, Safeguarding, and Priority of Restoration of Vital Records and Data

Legend: **1 - ITS Server; 2 - NYR; 3 - Flash Drive Go-Kits; N/A - Not Applicable**

Priority	MEF	Vital Records/ Documents	Placement at Primary Location	MEF Rank	Backu

Communications Resources

Type (Phone, Radio, Data, etc.)	User	Redundancies	Other

Critical Recovery Tasks

Critical COOP Response and Recovery Tasks	
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	

Resource Requirements and Outstanding Logistical Support (Included in BPA Form)

Equipment Needed		Quantity	Department
1			
2			
3			
4			
5			

Facility Relocation Handout for Employees to the Alternate Site

Site Setup Lead:	Agency Setup Leaders		Contact Information
Site Setup Team:	As designated by leadership		Contact Information
Directions:	Provide directions to the alternate site		
Nearby Hotels, Daycares, Pharmacies, ATM etc.:	Example One		Example Two
Nearby Food Restaurants:	Restaurant One	Restaurant Two	Restaurant Three

Dependencies & Interdependencies (included in BPA Form)

Agency / Department or Vendor/Contract		Data from	Data to	Contact Name / Number
1				
2				
3				
4				
5				

Systems, Files, Records, and Database

Application/Technology (Included in BPA Form)

Applications/Technology		IT Point of Contact	Recovery Time Object (RTO)	Recovery Point Objective (RPO)
1				
2				
3				
4				
5				

Vital Records (Included in BPA Form)

Description of vital record		Placement at primary location	Backup available? Location?
1			
2			
3			
4			
5			

Mission Critical (Emergency) Go-Kits

Section	Alternate Location	Agency Point of Contact

Key Non-Standard Software (Included in BPA Form)

Non-standard Software Name		Users	Location of Installation Media
1			
2			
3			
4			
5			

Attachment 2

Federal Templates for Continuity of Operations Plan Planning for Conducting a BPA and BIA

Business Process Analysis Data Sheet (Federal Guidance)

(Organization) MEF # — BPA MEF Title Date
MEF Statement:
Line 1 **MEF Output:** A list describing what products and services are produced or delivered to external partners or constituents. If possible, metrics that provide timelines and other performance measures should be included.
Line 2 **MEF Input:** A list describing information, authorizations, supplies, and services required to perform the MEF. Each input should briefly describe how the input supports the overall process.
Line 3 **Leadership:** A list identifying the key senior leaders [by position or title] who are required to participate directly in performance of the MEF.
Line 4 **Staff:** A list of staff requirements, positions, and work schedules necessary to perform the MEF. This is particularly important if 24/7 operations or teleworking is applicable.
Line 5 **Communications and IT:** A list identifying general and unique communications and IT requirements.
Line 6 **Facilities:** A description of the facility requirements to perform the MEF, including office space, industrial capacity and equipment, and critical supporting infrastructure.
Line 7 **Resources and Budgeting:** Supplies, services, capabilities, and other essential resources required to perform the MEF and supporting activities not already accounted for in the BPA process.
Line 8 **Dependencies and Interdependencies**: A list of partners and interdependent organizations that support and/or ensure performance of the MEF. Products or services delivered by the partners, information shared or exchanged, and any other critical elements relevant to the MEF's should be highlighted.
Line 9 **Process Details:** A detailed narrative or diagram that ties together all of the elements involved in the process of performing the MEF from start to finish/beginning.
Telework Flexibilities: (if appropriate)
Other Comments: Essential Supporting Activities that support the MEF can be captured here or in line 9 Process Details.

Business Impact Analysis Worksheet (Federal Guidance)

Business Impact Analysis Worksheet: Threat and Hazard Analysis						
MEF Number and Statement: MEF Number and MEF Title						
Entry Number	(1) Threat Hazard	(2) Threat or Hazard Characteristics	Threat or Hazard Likelihood (0-10)	MEF Vulnerability (0-10)	MEF Failure Impact (0-10)	MEF Risk Value (0-30)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

See DHS/FEMA *Continuity Guidance Circular-2* (CGC-2) to understand how to apply the ground rules of the worksheet to COOP.

Attachment 3

ITS Language for Safeguarding Applications

For agencies on the ITS Enterprise, please include the following:

- New York State made a bold and progressive move to transform New York's IT services by creating one State IT delivery organization – the Office of Information Technology Services (ITS). Through the consolidation, ITS provides statewide IT strategic direction, directs IT policy and delivers high-quality IT services to 53 State agencies who serve more than 19 million New Yorkers. As one of these state agencies we have an agreement with ITS to protect and safeguard our critical systems.

- ITS has consolidated state owned data centers into a centralized data center located at the College of Nanoscale Science and Engineering (CNSE) in Albany. CNSE was built to conform at a minimum to Tier 3 specifications with many features of a Tier 4 facility. ITS has taken steps to protect and safeguard the critical applications in NYS as well as the infrastructure that hosts them. The CNSE data center physical protection safeguards include; access to the building controlled by badge swipe technology, access to CNSE controlled by badge combined with a keypad/PIN entry code, and data center access is provided only to those that have been cleared through the fingerprinting and State Police background checks. CNSE internal physical protection for servers, server room, etc. include; two power feeds from two separate power grids, redundant generator capacity capable of handling 100% of the data center, location specific sprinkler systems to handle fire suppression, system architecture design with high availability and redundancy to eliminate single points of failure everywhere possible. CNSE follows the above steps with the added protection of malware protection, virus scanning, intrusion prevention systems, firewalls and an advanced persistent threat solution.

- ITS, as custodian of critical IT systems and infrastructure for the Executive Agencies it supports, must ensure the ongoing availability of critical systems and infrastructure in the event of disruption to or loss of CNSE. ITS has built out and continues to enhance a secondary data center (Utica). This provides a geographic separation of the State's primary and secondary data centers to just under 100 miles. Utica is secured internally with the same safeguards as CNSE with firewalls, intrusion detection systems, advanced persistent threat solution and externally with badge security technology. Many core services are available in Utica such as network and identity services. In addition to providing the service for Utica, these core services are the secondary (HA) systems to serve CNSE. Backups of systems and data from CNSE are replicated to Utica nightly. The IBM Mainframe and Unisys Mainframe are mirrored at the Utica data center.